

Notice of References CitedApplication/Control No.
09/895,605Applicant(s)/Patent Under
Reexamination
STEFKE ET AL.Examiner
Kelvin E BookerArt Unit
2121

Page 1 of 2

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-6,453,303	09-2002	Li, Bin	705/36
	B	US-6,012,044	01-2000	Maggioncalda et al.	705/36
	C	US-2003/0009409	01-2003	Horner et al.	705/36
	D	US-2003/0009408	01-2003	Korin, Ittai	705/36
	E	US-2002/0165841	11-2002	Quaile, James Patrick	706/45
	F	US-5,832,465	11-1998	Tom, Daniel Mohimm	706/51
	G	US-2003/0208429	11-2003	Bennett, Levitan S	705/36
	H	US-2003/0139993	07-2003	Feuerverger, Andrey	705/36
	I	US-2003/0078867	04-2003	Scott et al.	705/36
	J	US-2003/0055765	03-2003	Bernhardt, Mark	705/36
	K	US-2003/0046212	03-2003	Hunter et al.	705/36
	L	US-2003/0033240	02-2003	Balson et al.	705/37
	M	US-2002/0091605	07-2002	Labe et al.	705/36

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	Mulvey, J.M., "Solving Robust Optimization Models in Finance", IEEE/IAFE Conference on Computational Intelligence for Financial Engineering, March 1996.
	V	Vacca, L., "Managing Options Risk with Genetic Algorithms", Proceedings of the IEEE/IAFE 1997 Computational Intelligence for Financial Engineering, March 1997.
	W	Cai et al., "Portfolio Optimization Under Risk Measure", Proceedings of the 35th Conference on Decision and Control, December 1996.
	X	Gordon, J., "Security Modeling", IEE Colloquium on Risk Analysis Methods and Tools, June 1992.

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

Notice of References Cited	Application/Control No. 09/895,605	Applicant(s)/Patent Under Reexamination STEFKE ET AL.	
	Examiner Kelvin E Booker	Art Unit 2121	Page 2 of 2

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-6,405,179	06-2002	Rebane, George J.	705/36
	B	US-			
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.